

BAKER BOTTS LLP

06-25-01

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UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	A32436-PCT-USA-A-072
First Inventor	BERTRAM JACOBS
Title	VIRAL VECTORS * see attached
Express Mail Label No.	EF321684821US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 15]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description☒ Claim(s) [Total Sheets 2]  
☒ Abstract of the Disclosure [Total Sheets 1]
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 3]
5. Oath or Declaration [Total Pages ]
  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies
9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP)

of prior application No.: PCT/US00/10948

Prior application information:

Examiner .....

Group Art Unit: .....



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or ☐

Correspondence address below

Name			
Address			
City	State	Zip Code	
Country	Telephone	Fax	

Name (Print/Type)	Janet M. MacLeod	Registration No. (Attorney/Agent)	35,263
Signature	<i>Janet M MacLeod</i>	Date	6/22/2001

## Addendum Sheet 1

## \*Question 4 Addendum

4.a. Drawings are ☐ formal ☒ informal

## \* Question 5 Addendum

5.c. ☐ An unsigned oath or declaration is included.

## \* Question 8 Addendum

8.d. ☐ A sequence submission will follow.

## \* Question 9 Addendum

9.a. ☒ Assignment documents will follow.9.b. ☐ Assignment documents have been filed in parent application No.

## \* Question 11 Addendum

11.a. ☐ English translation will follow.

## \* Question 12 Addendum

12.a. ☐ Copies of IDS citations will follow.

## \* Question 15 Addendum

15.a. ☐ Certified copies of priority documents will follow.15.b. ☐ Certified copies of priority documents have been filed in parent application No.

Use the space below for additional information

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Title (continued):

VIRAL VECTORS HAVING ENHANCED EFFECTIVENESS WITH REDUCED VIRULENCE

## Addendum Sheet 2

18a. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_  
 Prior application information: Examiner \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

18b. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_  
 Prior application information: Examiner \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

18c. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_  
 Prior application information: Examiner \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

☐ Amend the specification by inserting before the first line the sentence(s)

☐ "This application is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ "This application is based upon:

prior application No.: \_\_\_\_\_, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.: \_\_\_\_\_, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.: \_\_\_\_\_, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.: \_\_\_\_\_, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.: \_\_\_\_\_, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.: \_\_\_\_\_, incorporated by reference herein

Priority under 35.U.S.C. §119 is claimed based upon the following applications.

Foreign Applications:

Country: \_\_\_\_\_

Serial No: \_\_\_\_\_

Filing Date: \_\_\_\_\_

Country: \_\_\_\_\_

Serial No: \_\_\_\_\_

Filing Date: \_\_\_\_\_

Country: \_\_\_\_\_

Serial No: \_\_\_\_\_

Filing Date: \_\_\_\_\_

Provisional Applications:

Serial No: 60/136,277

Filing Date: May 27, 1999

Serial No: \_\_\_\_\_

Filing Date: \_\_\_\_\_

Serial No: \_\_\_\_\_

Filing Date: \_\_\_\_\_

Patent fees are subject to annual revision.	<b>Complete if Known</b>	
	Application Number	A32436-pct-usa-a-072448.0309
	Filing Date	June 21, 20001
	First Named Inventor	BERTRAM JACOBS
	Examiner Name	
	Group Art Unit	
	Attorney Docket No.	A32436-PCT-USA-A-072448.0309
(\$ 355)		

<input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to: Deposit Account Number <b>02-4377</b> Deposit Account Name <b>Baker Botts LLP</b> <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27 <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other		(continued)	
710 355 Utility filing fee <b>355</b> 320 160 Design filing fee 490 245 Plant filing fee 710 355 Reissue filing fee 150 75 Provisional filing fee <b>(\$ 355)</b>	130 65 Surcharge - late filing fee or oath 50 25 Surcharge - late provisional filing fee or cover sheet 130 130 Non-English specification 2,520 2,520 For filing a request for <i>ex parte</i> reexamination 920* 920* Requesting publication of SIR prior to Examiner action 1,840* 1,840* Requesting publication of SIR after Examiner action 110 55 Extension for reply within first month 390 195 Extension for reply within second month 890 445 Extension for reply within third month 1,390 695 Extension for reply within fourth month 1,890 945 Extension for reply within fifth month 310 155 Notice of Appeal 310 155 Filing a brief in support of an appeal 270 135 Request for oral hearing 1,510 1,510 Petition to institute a public use proceeding 110 55 Petition to revive - unavoidable 1,240 620 Petition to revive - unintentional 1,240 620 Utility issue fee (or reissue) 440 220 Design issue fee 600 300 Plant issue fee 130 130 Petitions to the Commissioner 50 50 Processing fee under 37 CFR 1.17(q) 180 180 Submission of Information Disclosure Stmt 40 40 Recording each patent assignment per property (times number of properties) 710 355 Filing a submission after final rejection (37 CFR § 1.129(a)) 710 355 For each additional invention to be examined (37 CFR § 1.129(b)) 710 355 Request for Continued Examination (RCE) 900 900 Request for expedited examination of a design application	Total Claims <b>11</b> .20** = <b>0</b> x <b>0</b> = <b>0</b> Independent Claims <b>2</b> -3** = <b>0</b> x <b>0</b> = <b>0</b> Multiple Dependent <b>9</b> = <b>0</b> 18 9 Claims in excess of 20 80 40 Independent claims in excess of 3 270 135 Multiple dependent claim, if not paid 80 40 ** Reissue independent claims over original patent 18 9 ** Reissue claims in excess of 20 and over original patent <b>(\$ 0)</b>	
**or number previously paid, if greater; For Reissues, see above		Other fee (specify) _____ *Reduced by Basic Filing Fee Paid <b>(\$ 0)</b>	

Complete (if applicable)			
Name (Print/Type)	Janet M. MacLeod	Registration No. (Attorney/Agent)	35,263
Telephone	(212) 408-2597	Date	June 22, 2001
Signature	<i>Janet M MacLeod</i>		